

**CONSTRUCTION CHANGE DOCUMENT  
SUBMITTAL AND APPROVAL PROCESS****IR A-6****References:**

California Code of Regulations (CCR), Title 24 Part 1,  
California Administrative Code, Sections 4-338 and 4-341

Revised 11-21-12  
Revised in its entirety 11-01-12  
Revised 11-16-09  
Revised 09-18-07  
Revised 11-15-06  
Issued 09-01-99

Discipline: All

This Interpretation of Regulations (IR) is intended for use by the Division of the State Architect (DSA) staff, and as a resource for design professionals, to promote more uniform statewide criteria for plan review and construction inspection of projects within the jurisdiction of DSA which includes State of California public elementary and secondary schools (grades K-12, community colleges), and state-owned or state-leased essential services buildings. This IR indicates an acceptable method for achieving compliance with applicable codes and regulations.

This IR is reviewed on a regular basis and is subject to revision at any time. Please check the DSA web site for currently effective IRs. Only IRs listed <http://www.dgs.ca.gov/dsa/Resources/IRManual.aspx> at the time of plan submittal to DSA are considered applicable.

**Purpose:** Title 24, Part 1, California Code of Regulations, Section 4-338, requires that changes to the approved plans or specifications after a contract for construction has been awarded shall be made by means of Construction Change Documents (CCD). This Interpretation of Regulations (IR) describes those construction changes that must be submitted to the Division of the State Architect (DSA) and defines the construction change document process.

**Definitions:** The following definitions apply to terms used in this document:

**Approved Construction Documents** – Plans, specifications, addenda, deferred approvals, revisions, and construction change documents duly approved by DSA.

**Change** – Revisions, deletions, additions, and substitutions to approved construction documents.

**Change Order** – A document defining construction changes that result in changes to the contract.

**Clarification** – A statement from the architect or engineer in general responsible charge of the project that clarifies (but does not change) the requirements of the approved construction documents.

**Contract** – A written agreement for construction, alteration, repair or other construction activities associated with facilities regulated by DSA.

**Construction Change** – Changes to the approved construction documents after a contract for the work has been awarded.

**Construction Change Documents (CCD)** – The documentation of construction changes.

**Design Professional in General Responsible Charge** – The architect or engineer in general responsible charge of the project as listed on Line 22 or 24 of form [DSA-1: Application for Approval of Plans and Specifications](#).

**Drawing** – An illustration on paper or electronic medium.

**Interpretation** – A statement from the architect or engineer in general responsible charge of the project that interprets (but does not change) the requirements of the approved construction documents.

**Responsible Design Professional** – The architect or engineer in general responsible charge of the project, as listed on Line 22 or 24 of form DSA-1 **or** architects or engineers with delegated responsibility for portions of the project as listed on Line 25 or 26 of form DSA-1.

**1. SUBMITTAL REQUIREMENTS FOR CONSTRUCTION CHANGES:** After a contract for the work has been let, changes to the approved construction documents shall be made by means of Construction Change Documents (CCD).

It is the responsibility of the design professional in general responsible charge to determine if changes affect the Structural, Access or Fire & Life Safety Portions of the Project. (See Section 4 below about statement on verified report).

The design professional in responsible charge shall prepare the CCD and is responsible for code and process compliance.

The following define requirements for submittal of CCD to DSA.

**1.1 Changes to or affecting the Structural, Access or Fire-Life Safety Portions of the Project:**

- These changes shall be classified as **CCD Category A.**
- CCD Category A are required to be submitted to and approved by DSA prior to commencement of the affected work.
- CCD Category A must be submitted to DSA using the CCD Category A form, DSA-140 depicted in the Appendix A of this IR and available on the DSA web site, forms page, at <http://www.dgs.ca.gov/dsa/Forms.aspx>.
- Submittal process requirements are defined in Section 2 of this IR and must be followed.

**1.2 Changes not affecting the Structural Safety, Access Compliance or Fire & Life Safety portions:**

- These changes shall be classified as **CCD Category B.**
- CCD Category B are not required to be submitted to DSA unless specifically required, in writing, by DSA.
- If DSA requires any CCD Category B to be submitted then they shall be submitted to DSA using the Category B form, DSA-141 depicted in Appendix B of this document and available on the DSA web site, forms page, at <http://www.dgs.ca.gov/dsa/Forms.aspx>.
- If DSA requires a CCD Category B to be submitted then DSA will review for concurrence that it does not contain changes to, or affect the Structural, Access or Fire & Life safety portions of the project. If necessary, and at its sole discretion, DSA will re-assign the CCD to Category A.

**1.3 Change Orders:** Change Orders are not required to be submitted to DSA. The CCD process replaces the need to submit Change Orders (except as noted in Section 7).

Changes to the construction cost are reported to DSA using form DSA-168 at the conclusion of the project.

**2. SUBMITTAL PROCESS:** Submittal of CCDs must conform to the following requirements:

- 2.1** Must be submitted by the design professional in general responsible charge.
- 2.2** Must be submitted to DSA using the appropriate form. The forms are shown in the Appendices of this IR and are available on the DSA web site, forms page, at <http://www.dgs.ca.gov/dsa/Forms.aspx>.
- 2.3** Each CCD submittal must use a separate DSA CCD Category form.
- 2.4** Each submittal must contain one DSA CCD Category form bound with two copies of the subject CCD except as noted in Item 2.15.
- 2.5** The DSA CCD Category form must be filled out completely, leaving no fields blank.

- 2.6** Each CCD must be uniquely numbered. The numbering may be numeric or alpha-numeric.
- If the submitted CCD is returned by DSA not approved, the CCD number used in the original submittal must remain the same for any subsequent re-submittals.
  - If a submitted CCD Category B is returned by DSA not approved, the CCD number used in the original submittal must remain the same when re-submitting as a CCD Category A.
- 2.7** Changes must be described clearly and completely.
- 2.8** Drawings, specifications, and calculations must be stamped and signed by the responsible design professional.
- 2.9** Reference to the specific portions of the drawings or specifications that are being changed must be included.
- 2.10** Changes to any testing or inspection requirements associated with the proposed change must be clearly described.
- 2.11** Each page in the CCD, including the pages in each attachment, shall be clearly and uniquely numbered. All drawings attached to describe the changes shall be clearly numbered, labeled, and referenced.
- 2.12** When drawings containing DSA approval stamps are revised and reissued as part of the CCD, all of the following requirements must be met:
- Images of all DSA approval stamps must be removed from the drawing (or crossed out) prior to making any changes to the drawings.
  - Each change shall be clouded and identified on the drawing.
  - All drawings must be re-stamped and re-signed by the responsible design professional.
- 2.15** The submittal must be by mail or delivery. (Electronic submittals may be accepted at the discretion of the DSA Regional Office. For electronic submittals submit one copy of the subject CCD along with one DSA CCD Category form. Fax submittals are not acceptable.)

### **3. REVIEW BY DSA:**

#### **3.1 CCD Category A**

- DSA reviews CCD Category A for minimum compliance with the codes regulating the Structural, Access and Fire & Life Safety portions of the project.
- If not approved by DSA then both copies of the CCD are returned to the design professional in general responsible charge for correction (DSA will return the document for correction with a DSA-143 form attached indicating the status of the review and any specific instructions necessary for approval). After corrections are made then the CCD is re-submitted (must include the DSA comments and a copy of the DSA 143 form from the previous unapproved submittal) following the submittal process outlined in Section 2 of this IR. For electronic submittals, the DSA-143 may not be included by DSA. If this is the case then the above information about the DSA-143 is not applicable.
- If approved by DSA then DSA retains one approved copy of the CCD and returns the other approved copy to the design professional in general responsible charge (see Section 4 for requirements for distribution by the design professional in general responsible charge).

### **3.2 CCD Category B**

- DSA reviews CCD Category B to provide concurrence that the changes do not affect the Structural, Access or Fire-Life Safety Portions of the Project.
- **DSA "approval" of CCD Category B is not approval for code compliance, but is** concurrence that the documents do not change the Structural, Access and/or Fire & Life Safety portions of the project.
- **If not "approved" by DSA then both copies of the CCD** are returned to the design professional in general responsible charge for correction (DSA will return the document for correction with a DSA-143 form attached indicating the status of the review and any specific instructions necessary for approval). After corrections are made then the CCD is re-submitted using CCD Category A form DSA-140 (must include the DSA comments and a copy of the DSA-143 form from the previous unapproved submittal) following the submittal process outlined in Section 2 of this IR. For electronic submittals, the DSA-143 may not be included by DSA. If this is the case then the above information about the DSA-143 is not applicable.
- **If "approved" by DSA then DSA retains one "approved" copy of the CCD and** returns the other approved copy to the design professional in general responsible charge.

## **4. DUTIES OF DESIGN PROFESSIONAL IN GENERAL RESPONSIBLE CHARGE:**

**4.1 Distribution of CCD Category A Documents:** The design professional in general responsible charge shall provide the contractor and project inspector with DSA approved CCD Category A prior to commencement of work shown thereon.

**4.2 CCD Category A Statement in Final Verified Report.** The final verified report (form DSA-6A/E) from the design professional in general responsible charge must include a statement that all changes to or affecting the Structural Safety, Access Compliance or Fire & Life Safety portions of the project have been approved by DSA.

## **5. DUTIES OF THE PROJECT INSPECTOR:**

**5.1 Record-keeping:** The project inspector shall maintain, in her/his job file, a copy of all approved CCD Category A documents. The inspector is required to maintain complete records of these documents. These documents shall be maintained in an organized manner so that they are readily available.

**5.2 Monitoring of Changes:** If the project inspector determines that changes to the plans or specifications appear to require DSA approval (changes affecting the Structural Safety, Access Compliance or Fire & Life Safety portions of the project), the inspector shall notify the design professional in responsible charge and DSA. Any work affecting the Structural Safety, Access Compliance or Fire & Life Safety portions of the project that is not performed in accordance with DSA approved documents must be reported as a deviation.

**6. MONITORING OF CHANGES BY THE DSA:** If the DSA determines that changes to the plans or specifications appear to require DSA approval (changes affecting the Structural Safety, Access Compliance or Fire & Life Safety portions of the project), DSA shall notify the design professional in responsible charge and require the changes to be submitted or require evidence the changes are CCD Category B.

**7. TRANSITION:** The following provides direction for submittal of construction change documents (Change Orders, FCDs or CCDs) for projects in various stages of completion of construction. All projects for which construction commences on or after January 2, 2013 are required to use the CCD process described in this IR.

**7.1 Projects for which, prior to November 1, 2012, construction is essentially complete, having been issued a DSA 90 day letter or closed uncertified by DSA:** Projects in this category may have an issue of “unresolved change orders” or “unresolved Field Change Documents (FCDs)”. The status of these could be:

- Change orders or FCDs have been submitted to DSA and are pending review or unapproved.
- Change orders or FCDs have not been submitted to DSA.

To resolve this issue, see the following options:

**Change Orders:**

**Option #1:** Submit/resubmit the change orders and obtain DSA approval. The cost information in the change order need not be included. ←

**Option #2:** If any or all of the “unresolved change orders” are changes that do not affect the Structural Safety, Access Compliance, or Fire & Life Safety components or portions of the project then, in lieu of the change orders, form DSA-310 may be submitted. The specific change orders must be listed, by number, on the form.

**FCDs:**

**Option #1:** if the FCD has been previously submitted to DSA then resubmit the FCD and obtain DSA approval.

**Option #2:** For changes that affect the Structural Safety, Access Compliance, or Fire & Life Safety portions of the project, but have not resulted in a change order, and have not been previously submitted as an FCD, then submit as CCD Type A.

**7.2 Projects for which construction commenced prior to January 2, 2013 and do not fall into the category defined in Section 7.1:**

- For change orders or FCDs that have been submitted to DSA, see options listed in section 7.1.
- From November 1, 2012 to January 1, 2013: If previously un-submitted change orders or FCDs are submitted, DSA staff will assign them as CCD Category A, assign the change order/FCD number as the CCD number, and process them accordingly.
- On or after January 2, 2013: the CCD process must be followed for all new, previously un-submitted construction changes. If previously un-submitted change orders or FCDs are submitted, DSA staff will return them as rejected, not approved and require them to be re-submitted as CCD.

**7.3 Projects for which construction commences on or after January 2, 2013:**

Use the CCD process described in this IR.

**APPENDICES**

- **Appendix A** - Form DSA-140 (Application for Approval of CCD Category A)
- **Appendix B** - Form DSA-141 (Application for Concurrence of CCD Category B)
- **Appendix C** - Sample CCD Category A
- **Appendix D** - Sample CCD Category B

**Appendix A** - Form DSA-140 (Application for Approval of CCD Category A)



Division of the  
**State Architect**  
CALIFORNIA DEPARTMENT OF GENERAL SERVICES

FORM  
**DSA-140**  
Revised 11/12

CCD #:

DSA FILE #: -

DSA APPL #: -

Date

APPLICATION FOR APPROVAL OF

**CONSTRUCTION CHANGE DOCUMENT - CCD CATEGORY A**

Changes to or affecting the Structural Safety, Access Compliance or Fire & Life Safety Portions of the Project

Please Print or Type all Information - or fill out on-line and print for signatures

ALL FIELDS MUST BE COMPLETED See DSA IR A-6 for submittal requirements

1. Name of Project: \_\_\_\_\_

2. Applicant Information:

Firm Name: \_\_\_\_\_

Contact Name: \_\_\_\_\_

Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_ e-mail: \_\_\_\_\_

3. Name of Design Professional in General Responsible Charge: \_\_\_\_\_

4. Professional License Type ☐ Architect ☐ Structural Engineer License Number

5. Design Professional in General Responsible Charge Statement: The attached Construction Change Documents have been examined by me for design intent and appear to meet the appropriate requirements of Title 24, California Code of Regulations and the project specifications. They are acceptable for incorporation into the construction of the project.

Signature: \_\_\_\_\_  
DESIGN PROFESSIONAL IN GENERAL RESPONSIBLE CHARGE

6. Brief Description of construction change (attach additional sheets if needed):

7. List of attachments:

8. List of DSA approved documents affected by this CCD:

9. NOTE: Check here ☐ to confirm that all CCD drawings and calculations have been stamped and signed by the responsible design professional.

**Appendix B** - Form DSA-141 (Application for Concurrence of CCD Category B)



**Division of the  
State Architect**  
CALIFORNIA DEPARTMENT OF GENERAL SERVICES

FORM  
**DSA-141**  
Revised 11/12

CCD# :

DSA FILE #: -  
DSA APPL #: -

Date:

APPLICATION FOR CONCURRENCE OF

**CONSTRUCTION CHANGE DOCUMENT - CCD CATEGORY B**

Changes NOT affecting the Components or Systems of the Structural, Access or Fire & Life Safety Portions of the Project

Please Print or Type all Information - or fill out on-line and print for signatures

ALL FIELDS MUST BE FILLED See DSA IR A-6 for submittal requirements

1. Name of Project: \_\_\_\_\_

2. Applicant Information:

Firm Name: \_\_\_\_\_

Contact Name: \_\_\_\_\_

Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_ e-mail: \_\_\_\_\_

3. Name of Design Professional in General Responsible Charge: \_\_\_\_\_

4. Professional License Type ☐ Architect ☐ Structural Engineer License Number \_\_\_\_\_

5. Statement of Responsibility, Design Professional in General Responsible Charge: I attest that the scope of the Construction Change Documents referenced above does not contain changes to the components or systems of the structural, access and/or fire-life safety portions of the project as described in Title 24, Part 1, Section 4-338(c) of the California Code of Regulations.

I understand any DSA approval of these Construction Change Documents is not approval for code compliance, but is concurrence that the documents do not change the structural, access and/or fire-life safety portions of the project.

Signature: \_\_\_\_\_

DESIGN PROFESSIONAL IN GENERAL RESPONSIBLE CHARGE

6. Brief Description of construction change (attach additional sheets if needed):

7. List of attachments:

8. List of DSA approved documents affected by this CCD:



**Appendix C - Sample CCD Category A**



Division of the  
**State Architect**  
CALIFORNIA DEPARTMENT OF GENERAL SERVICES

FORM  
**DSA-140**  
Revised 11/12

CCD #: 05

DSA FILE #: 37 - OF

DSA APPL #: 04 - 119119X

Date 5-5-15

**APPLICATION FOR APPROVAL OF**

**CONSTRUCTION CHANGE DOCUMENT - CCD CATEGORY A**

Changes to or affecting the Structural Safety, Access Compliance or Fire & Life Safety Portions of the Project

Please Print or Type all Information - or fill out on-line and print for signatures

ALL FIELDS MUST BE COMPLETED See DSA IR A-6 for submittal requirements

1. Name of Project: BEST SCHOOL

2. Applicant Information:

Firm Name: ABC ARCHITECTS

Contact Name: PAT SMITH

Address: 1444 ARCH DRIVE, SAN DIEGO CA 92127

Phone Number: 602-555-1111 e-mail: PAT@ABC.COM

3. Name of Design Professional in General Responsible Charge: ROBIN HANKS

4. Professional License Type ☒ Architect ☐ Structural Engineer License Number C72475

5. Design Professional in General Responsible Charge Statement: The attached Construction Change Documents have been examined by me for design intent and appear to meet the appropriate requirements of Title 24, California Code of Regulations and the project specifications. They are acceptable for incorporation into the construction of the project.

Signature: [Signature]  
DESIGN PROFESSIONAL IN GENERAL RESPONSIBLE CHARGE

6. Brief Description of construction change (attach additional sheets if needed):

CHANGE BOLTS TO LAGS ON DETAIL 7/55

7. List of attachments:

DETAIL SHEET #1 & CALC SHEET #1 (2 SHEETS TOTAL)

8. List of DSA approved documents affected by this CCD:

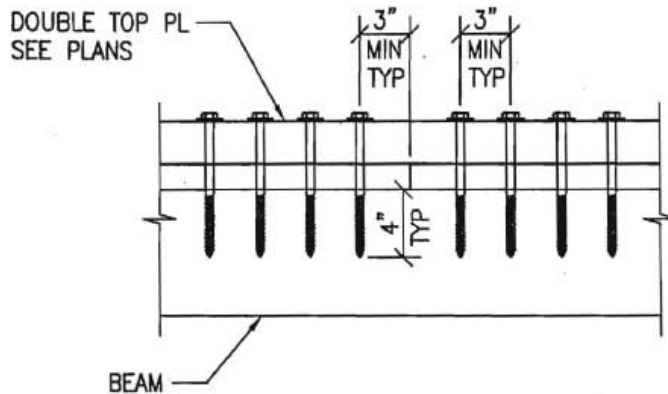
SHEET 55 DETAIL #7

9. NOTE: Check here ☒ to confirm that all CCD drawings and calculations have been signed by the responsible design professional.



**Appendix C - Sample CCD Category A (continued)**

CCD 5 ATT # 1 OF 2



SCHEDULE	
TYPE	SCREWS
TYPE A	16-5/8"Ø LAG
TYPE B	24-5/8"Ø LAG

**NOTE:**

1. LOCATE SCREWS AT CENTER LINE OF TOP PLATE.
2. SPLIT TOTAL NUMBER OF SCREWS EACH SIDE OF SPLICE.
3. FOR INFO NOT SHOWN SEE

7  
S-5

ALTERNATE TO DETAIL

7  
S-5

CL-1

SHEET # 1 OF 1



Project Name:	BEST SCHOOL
DSA Application #:	04-11919X
CCD Number:	05
Date:	5/5/15

**Appendix C - Sample CCD Category A (continued)**

PROJECT: NEW SCHOOL  
DSA #: 04-119119X  
CCD #: 05  
DATE: 5/5/15

CCD 5 SHIT #2 OF 2  
(CALC SHIT #1)

CHANGE DETAIL 7/55 FROM BOLTS TO LAG

FROM 7/55  $\frac{3}{4}$ "  $\phi$  BOLTS 2X TO 4X  
VAL = 1.2K

CHANGE TO  $\frac{5}{8}$ "  $\phi$  LAG (1 1/2" SIDE MEMBERS)  
VAL = 0.92K

USE 2-  $\frac{5}{8}$ "  $\phi$  LAG TO REPLACE 1-  $\frac{3}{4}$ "  $\phi$  BOLT  
SPACE  $4d = 4 \times \frac{5}{8} = 2\frac{1}{2}$ "  $\rightarrow$  USE 3 MIN.

FROM 7/55 TWO TYPES OF SPICES.

TYPE A USES 8-  $\frac{3}{4}$ "  $\phi$  BOLTS  
REPLACE W/ 16-  $\frac{5}{8}$ "  $\phi$  LAG.

TYPE B USES 12-  $\frac{3}{4}$ "  $\phi$  BOLTS  
REPLACE W/ 24-  $\frac{5}{8}$ "  $\phi$  LAG.



**Appendix D - Sample CCD Category B**



Division of the  
**State Architect**  
CALIFORNIA DEPARTMENT OF GENERAL SERVICES

FORM  
**DSA-141**  
Revised 11/12

CCD# : 06

DSA FILE #: 37 - 04

DSA APPL #: 04 - 119119X

Date: 5-5-15

APPLICATION FOR CONCURRENCE OF

**CONSTRUCTION CHANGE DOCUMENT - CCD CATEGORY B**

Changes NOT affecting the Components or Systems of the Structural, Access or Fire & Life Safety Portions of the Project

Please Print or Type all Information - or fill out on-line and print for signatures

ALL FIELDS MUST BE FILLED See DSA IR A-6 for submittal requirements

1. Name of Project: BEST SCHOOL

2. Applicant Information:

Firm Name: ABC ARCHITECTS

Contact Name: PAT SMITH

Address: 1444 ARCH DRIVE, SAN DIEGO CA 92127

Phone Number: 888-555-1111 e-mail: PAT@ABC.COM

3. Name of Design Professional in General Responsible Charge: ROBIN HANKS

4. Professional License Type ☒ Architect ☐ Structural Engineer License Number C-72475

5. Statement of Responsibility, Design Professional in General Responsible Charge: I attest that the scope of the Construction Change Documents referenced above does not contain changes to the components or systems of the structural, access and/or fire-life safety portions of the project as described in Title 24, Part 1, Section 4-338(c) of the California Code of Regulations.

I understand any DSA approval of these Construction Change Documents is not approval for code compliance, but is concurrence that the documents do not change the structural, access and/or fire-life safety portions of the project.

Signature: R Hanks  
DESIGN PROFESSIONAL IN GENERAL RESPONSIBLE CHARGE

6. Brief Description of construction change (attach additional sheets if needed):

ADD STOP SIGN - SHEET A-1 GRID 5-A

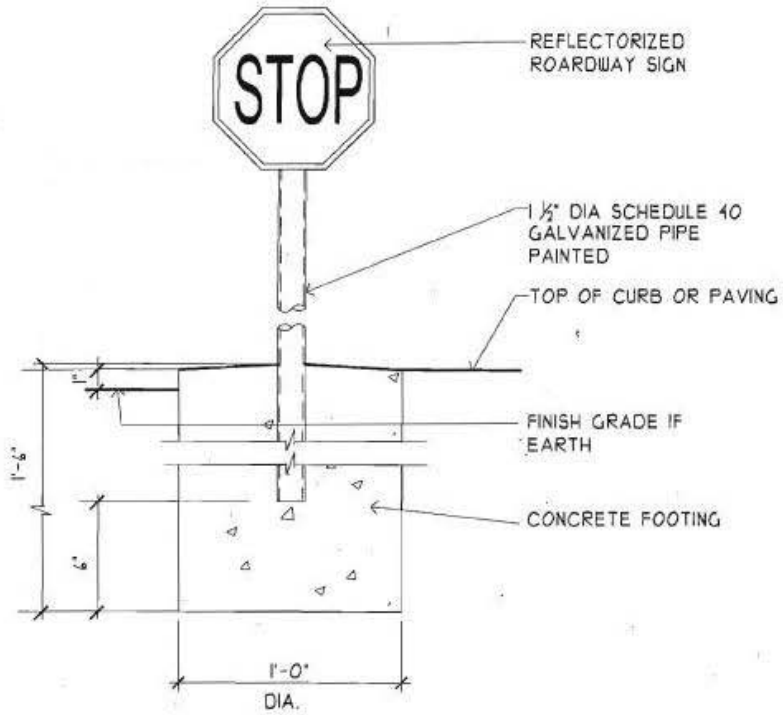
7. List of attachments:

DETAIL SHEET #1 (1 SHEET TOTAL)

8. List of DSA approved documents affected by this CCD:

SHEET A-1

CCD 6 SHEET # 1 OF 1



CL-2

SHEET # 1 OF 1



Project Name:	BEST School
DSA Application #:	04-119119X
CCD Number:	06
Date:	5/5/15